

U.S. SECURITIES AND EXCHANGE COMMISSION
PUBLIC NOTICE OF VACANCY

VACANCY NUMBER: ESHA-04-022-DW

Opens: February 23, 2004

Closes: March 15, 2004

Staff Accountant (SI), SK-0510-11/12/13

This is a bargaining unit position.

Grades/salaries: SK-11: \$68,708 - \$88,026 annually **Promotion Potential:** SK-14
SK-12: \$82,348 - \$105,505 annually
SK-13: \$97,923 - \$125,460 annually

Vacancies: 1 **Appointment/Schedule:** Career-Conditional/Full time

Location: Midwest Regional Office **Travel:** 6 to 10 nights per month
Chicago, IL

U.S. citizenship is required. Moving expenses will not be paid.

BENEFITS: SEC provides the following benefits - Thrift Savings Program, Federal Employees' Health Benefits Program, Work Life Programs, Federal Employees' Group Life Insurance Program, Annual and Sick Leave, Long Term Disability, and Flexible Spending Account (annual reimbursement of certain employee expenses).

WHAT WORK WILL YOU PERFORM?

As a Staff Accountant (SI), you will,

- Render technical accounting advice with respect to questions arising in the issue, purchase, sale or other distribution of securities in violation of the securities laws.
- Conduct and carry to completion formal and informal examinations, inquiries and investigations to determine whether there have been violations of the anti-fraud provisions of the securities statutes.
- Examine, analyze and audit financial and accounting records and books of corporations, underwriters, banks, brokers, dealers, transfer agents and other persons, securing such books and records through the preparation and service of a subpoena, if necessary.
- Interrogate those suspected of having violated the securities laws and conduct conferences and interviews with officials and employees of the state and federal agencies, banks, exchanges, brokers, dealers and other persons.
- Assemble, correlate, study and analyze facts obtained and prepares detailed charts, schedules and reports. Recommends appropriate courses of action, including administrative proceedings, criminal prosecution or civil injunctive action.

WHAT ARE THE QUALIFICATION REQUIREMENTS?

Candidates must meet the Basic Requirements, Mandatory Selective Factor and Specialized Experience.

Basic Requirements

1. A degree in accounting, business administration, finance, or public administration that included 24 semester hours in accounting and/or auditing subjects, 6 semester hours of which can be in business law; **OR**
2. Four or more years of accounting/auditing experience; **OR**
3. Equivalent combination of accounting experience and college-level education.

If you meet #2 or #3 above, you also must have:

1. 24 semester hours in accounting/auditing courses; **OR**
2. Certified Public Accountant or Certified Internal Auditor license obtained through a written examination;
OR
3. Completion of a degree with at least 15 semester hours in accounting/auditing, provided that the candidate has successfully worked at the full performance level in accounting, auditing, or a related field; and have certification from at least two higher level professional accountants or auditors that the

candidate's accounting experience equals the knowledge associated with a 4-year accounting/auditing degree.

Mandatory Selective Factor: (Applicants must address factor to be considered for the position)

Experience demonstrating knowledge of generally accepted accounting principles and general accepted auditing standards to recognize material reporting issues in securities-related financial statement disclosures.

Specialized Experience

In addition to meeting the Mandatory Selective Factor, candidates must show **one full year** (i.e., GS/SK-9 if applying for SK-11, GS/SK-11 if applying for SK-12, GS/SK-12 if applying for SK-13; or equivalent private sector experience) of progressively responsible specialized work experience in which candidates performed accounting or auditing work and that involved the review and evaluation of procedures, practices and records related to the: Examination of books, records, financial reports, and financial operations of registrants which included various types of investment company, investment advisor or other closely related securities entities; Preparation of written reports of findings, including worksheets, schedules, exhibits and narratives; Application of statutes, rules, regulations, and policies relating to the preparation of submission of securities-related financial statements administered under federal securities laws.

ICTAP ELIGIBLES

If you are a displaced Federal employee, you must attach to the front of your application proof of eligibility such as an SF-50 and/or RIF letter. If you are a displaced Federal employee separated within the local commuting area of the position, your application will be reviewed to determine whether you meet the minimum qualification requirements and, if you are found minimally qualified, then your application will be rated to determine whether you meet the well-qualified criterion established for the position. A well-qualified displaced employee will be referred before any other qualified candidates. ICTAP eligible candidates will be evaluated against the following factor to determine if they are well qualified:

Experience performing examinations of investment advisors/investment companies, broker dealers and transfer agents for compliance with federal securities laws, rules and regulations.

Substitution of Education:

For SK-11: Candidates may substitute three full years of progressively higher level graduate education (54 semester hours or 81 quarter hours) such as leading to a doctoral degree or a doctoral degree in accounting, business, economics, or finance.

Candidates **MUST** submit a copy of official transcripts as proof of college/university degree (college transcript) along with the application. Official transcripts must be received by the time of interview.

HOW TO APPLY

Please read the attached “**EMPLOYMENT GUIDE.**” If you do not submit all information as requested, you may lose consideration for the announcement. This information will allow us to determine if you meet all legal requirements for Federal employment and the qualifications for this position.

REASONABLE ACCOMMODATION: The SEC provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of application or hiring process, please notify the SEC's Disabilities Coordinator in OHRAS. The decision on granting reasonable accommodation will be made on a case-by-case basis.

FOR ADDITIONAL VACANCIES THAT MAY BE AVAILABLE VISIT: www.sec.gov/jobs.shtml

Security Clearance: The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment or selection to another position.

<u>EQUAL EMPLOYMENT OPPORTUNITY</u>
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Candidates will be considered without regard to any non-merit reason such as race, color, religion, age, sex, national origin, or disability status. Disabled veterans, individuals with disabilities and veterans eligible for special OPM appointing authorities are strongly encouraged to apply.

**ESHA JOB POSTING
EMPLOYMENT GUIDE**

U.S. Securities and Exchange Commission

Office of Human Resources and Administrative Services (Mail Stop 0-1)

6432 General Green Way

Alexandria, VA 22312

Thoroughly read this guide and provide all information requested.

The information you give is very important because it will help us determine whether you meet the legal requirements for Federal employment and it allows us to evaluate your qualifications for the position.

**JOB
APPLICATION**

- Apply by submitting a résumé or *Optional Application for Federal Employment* (OF-612).
- Place in the top right corner of each page of your application: job title, grade and job announcement number and geographic location of the position for which you are applying.
- If the job is being advertised at more than one geographic location, a separate application is required for each location.

**LEGAL
REQUIRE-
MENTS**

- Provide your social security number, name, address, home and office phone numbers.
- United States citizenship is required. You must state in your application that you are a U.S. citizen.
- Males over age 18 born after December 31, 1959 must be registered with the Selective Service System or have an exemption.

**EDUCATION &
TRAINING**

- List any formal education received in an accredited institution. Give full name and address of high school, college, university, law school; type of certificate, diploma, or degree; grade point average; and month, year degree earned (or when you expect to earn your degree).
- You must submit a copy of or the official college transcript if the job announcement requires it.

EXPERIENCE

- List the job title of your position; name and address of employer; and, supervisor's name and telephone number. You must show beginning and ending employment dates in month and year (i.e., March 2000, 3/00 or 3/2003). You must show average hours worked per week and starting, ending and/or present salary.
- Describe (with examples) any work experience related to the specialized experience required by the vacancy announcement. Be explicit about what work you did and what kinds of skills you used in doing it; evaluators of your qualifications cannot read meaning into what you write. Do not assume that the evaluator will understand what work you have done just based on your title, the kind of business you were involved in, or the name of your organization or company.
- **Indicate whether we may contact your present and previous employers.**
- If you are currently or were formerly employed as a civilian in the Federal Government, indicate the highest grade held.
- If a mandatory selective factor is present in the job announcement, candidates must meet it in order to be given consideration for the position.

**MANDATORY
SELECTIVE
FACTOR
EVALUATION
PROCEDURES**

- A Human Resources Specialist will evaluate your application to determine whether you meet the minimum qualifications (and any mandatory selective factor) specified on the vacancy announcement. All minimally qualified candidates will be referred to the selecting official who will make the final hiring decision.

**SPECIAL
SELECTION
PRIORITY**

- This applies only to current or former career or career conditional Federal employees affected by reduction-in-force (RIF). Review your specific RIF notice about your rights and period of eligibility for special priority selection under the Interagency Career Transition Assistance Plan (ICTAP).
- To receive special selection priority as a Federal employee, you must: (1) apply timely for a specific job announcement with no greater promotion potential than the position from which you have been or are being separated; (2) occupy or be displaced from a position in the same

**FILING A JOB
APPLICATION**

**WHERE TO
SEND YOUR
APPLICATION**

- local commuting area of the vacancy for which you are requesting priority consideration; (3) have a current (or last) performance rating of record of at least fully successful; and (4) determined to be well-qualified as a displaced Federal employee for the SEC position.
- If you meet the SEC's well-qualified criterion, your application will be referred to the selecting official before any other qualified candidate inside or outside the Federal Government.
- You may:
1. Mail your application through the U.S. Postal Service. Mailed applications must be received by the closing date stated on the announcement.
 2. Fax your application to the phone number listed below. Applications must be received by the closing date specified on the announcement.

U.S. Securities and Exchange Commission
Office of Human Resources and Administrative Services (Mail Stop 0-1)
Attention: DeLisia Carpenter
6432 General Green Way
Alexandria, VA 22312

Fax Number: 703-914-0556